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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Antoni Kozlowski

Atty. Docket No.: SHE0064.00

Examiner: Unknown

Application No.: 10/659,735

Group Art Unit: 1614

Filed: 09/09/2003

Title: METHOD FOR PREPARING WATER-
SOLUBLE POLYMER DERIVATIVES
BEARING A TERMINAL
CARBOXYLIC ACID

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450 Alexandria, Virginia 22313-1450 on January 16, 2004

Signed: Kelly H. Hackett

INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR §1.56, §1.97 and §1.98

Assistant Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

The references listed in the attached Form PTO/SB/08A and B may be material to examination of the above-identified patent application. Applicants submit these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56, 1.97, and 1.98. The Examiner is requested to make these citations of official record in this application.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

Copies of the references are enclosed, as required under 37 CFR §§1.98.

Attorney Docket No. SHE0064.00

This Information Disclosure Statement is being timely filed under 37 CFR §§1.97 and is being filed:

☒ within three months of the filing date of a national application; within three months of the date of entry of the national stage as set forth in section 1.491 in an international application; or before the mailing date of a first Office action on the merits (whichever event occurs last);

☐ more than three months from the filing date of an application and after the mailing date of a first Office action on the merits, but before the mailing date of either a final action under section 1.113 or a notice of allowance under section 1.311 (whichever occurs first), and is accompanied by:

☐ the fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under §1.97(c) (\$180.00); or

☐ one of the following statements as specified in 37 CFR 1.97(e) that:

☐ each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

☐ no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in section 1.56(c) more than three months prior to the filing of the information disclosure statement; or

☐ after the mailing date of either a final action under section 1.113 or a notice of allowance under section 1.311, but on or before the payment of the issue fee, and is accompanied by each of:

☐ the following petition:
Applicant hereby requests consideration of the accompanying information disclosure statement;

☐ the petition fee set forth in 37 CFR 1.17(i) (\$130.00); and

☐ one of the following statements as specified in 37 CFR 1.97(e) that:

☐ each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three

months prior to the filing of the information disclosure statement; or

- ☐ no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in section 1.56(c) more than three months prior to the filing of the information disclosure statement.

- ☐ Each item of information contained within this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement. Accordingly, this Information Disclosure Statement does not constitute a failure on the part of the Applicant to engage in reasonable efforts to conclude prosecution of the application as set forth in 37 CFR 1.704 "Reduction of period of adjustment of patent term."

- ☐ Attached is Check No. _ in the amount of \$0.
- ☐ Please charge the amount of \$___ to Deposit Account 500348
- ☒ If it is determined that any additional fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-0348.

Respectfully submitted,

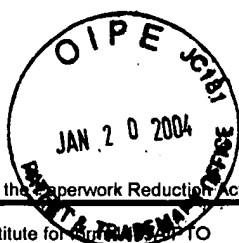
NEKTAR THERAPEUTICS
(Formally known as:
INHALE THERAPEUTIC SYSTEMS, INC.)

Dated: January 16, 2004

By: _____

Mark A. Wilson
Mark Wilson
Reg. No. 43,275

San Carlos, CA 94070
(650) 631-3100



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Substitute for Form PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

3

Complete if Known

Application Number	10/659,735
Filing Date	09/09/2003
First Named Inventor	Antoni Kozlowski
Art Unit	1614
Examiner Name	Unknown
Attorney Docket Number	SHE0064.00

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	AA	US- 4,079,038	03/14/1978	Choi et al.	
	AB	US- 4,248,786	02/03/1981	Batz et al.	
	AC	US- 4,670,417	06/02/1987	Iwasaki et al.	
	AD	US- 4,943,626	07/24/1990	McGrath et al.	
	AE	US- 4,957,998	09/18/1990	Heller et al.	
	AF	US- 5,157,075	10/20/1992	Kanai et al.	
	AG	US- 5,256,819	10/26/1993	Fried	
	AH	US- 5,328,955	07/12/1994	Rhee et al.	
	AI	US- 5,446,090	08/29/1995	Harris	
	AJ	US- 5,483,008	01/09/1996	Sakurai et al.	
	AK	US- 5,523,479	06/04/1996	Sanders et al.	
	AL	US- 5,605,976	02/25/1997	Martinez et al.	
	AM	US- 5,672,662	09/30/1997	Harris et al.	
	AN	US- 5,681,567	10/28/1997	Martinez et al.	
	AO	US- 5,824,701	10/20/1998	Greenwald et al.	
	AP	US- 5,840,900	11/24/1998	Greenwald et al.	
	AQ	US- 5,965,566	10/12/1999	Greenwald et al.	
	AR	US- 6,011,042	01/04/2000	Greenwald et al.	

FOREIGN PATENT DOCUMENTS

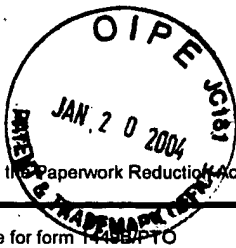
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	AV	WO 97/32606	09/12/1997	Universite de Geneve		
	AW	WO 99/32424	07/01/1999	Akzo Nobel N. V.		

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. . Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/08b (08-03)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/659,735
				Filing Date	09/09/2003
				First Named Inventor	Antoni Kozlowski
				Art Unit	1614
				Examiner Name	Unknown
Sheet	3	of	3	Attorney Docket Number	SHE0064.00

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	AX	E. J. COREY ET AL., "A New General Synthetic Route to Bridged Carboxylic Ortho Esters," Tetrahedron Letters (1983), 24(50): p.p. 5571-5574.	
	AY	T. W. GREENE ET AL., "Protective Groups in Organic Synthesis," John Wiley & Sons, Inc. - 3rd. Edition (1999), pp. 437-441.	
	AZ	P. WIPF ET AL., "Synthetic Applications of Ortho Esters," Pure Appl. Chem. (1999), 71(3): pp. 415-421.	
	BA	C. YU ET AL., "Diastereoselective Coupling Reaction of Activated Cyclic Ketene Ortho Ester with Aldehydes Promoted by Lewis Acid Catalyst," J. Org. Chem. (1997), 62: p.p. 6687-6689.	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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